

DOCKET NO.: POPT-0004

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Ernest H. Zerenner, et al.

Confirmation No.: 1828

Application No.: 09/676,374

Group Art Unit: 3624

Filing Date: September 29, 2000

Examiner: Felten, D.S.

**For: SYSTEM AND METHOD FOR ANALYZING AND SEARCHING
FINANCIAL INSTRUMENT DATA**

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Dear Sir:

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 CFR § 1.56 and in accordance with 37 CFR §§ 1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 CFR § 1.56(b).

- ☒ In accordance with § 1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of the above identified application as set forth in § 1.491, before the mailing date

of a first Office Action on the merits of the above-identified application, or before the mailing date of a first Office Action after the filing of request for continued examination under § 1.114, no additional fee is required.

- ☐ In accordance with § 1.97(c), this Information Disclosure Statement is being filed after the period set forth in § 1.97(b) above but before the mailing date of either a Final Action under § 1.116 or a Notice of Allowance under § 1.311, or before an action that otherwise closes prosecution in the application, therefore:

- ☐ Certification in Accordance with § 1.97(e) is attached; or
- ☐ The fee of **\$180.00** as set forth in § 1.17(p) is attached.

- ☐ In accordance with § 1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under § 1.113 or a Notice of Allowance under § 1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with § 1.97(e); and the submission fee of **\$180.00** as set forth in § 1.17(p).

- ☒ Copies of reference numbers **42 thru 59** listed on the attached Form PTO-1449 are enclosed herewith.

- ☒ Copies of reference numbers **60 thru 63** on the attached Form PTO 1449 are not required to be submitted pursuant to 37 CFR § 1.98(a)(2)(i).

- ☐ Copies of references - are not being submitted because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application number , filed for which a claim for priority under 35 U.S.C. § 120 has been made in the instant application.

There are no listed references which are not in the English language.

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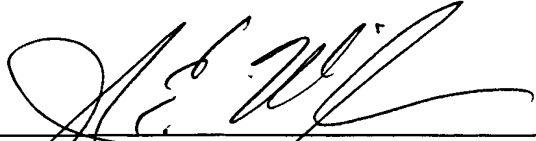
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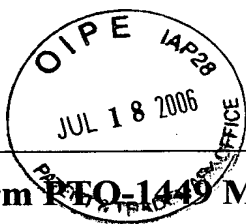
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Form PTO-1449 Modified List of Patent and Publications Cited by Applicant (Use several sheets if necessary) U.S. Department of Commerce Patent and Trademark Office	Docket No. POPT-0004	Application No. 09/676,374
	Applicant Ernest H. Zerenner, et al.	
	Filing Date September 29, 2000	Group 3624
	Confirmation No. 1828	
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
	42	OptionFind.com, www.optionfind.com , ©1998 Productivity Systems, 3 pages
	43	OptionsNewsletter: Stock Options made Easy, http://www.optionsnewsletter.com , © QuoteMedia , 18 pages
	44	E*Trade-research from Investors, www.etrade.com , ©1997 E*Trade Securities, 7 pages
	45	INVESTools-Trusted Advice for Independent Investors, www.investools.com , ©2000, 4 pages
	46	Yahoo!Finance, www.yahoo.com , ©2000, 2 pages
	47	Hoovers Online, The Business Network, www.hoovers.com , 2000, 1 page
	48	Covered Call Screening www.investorsmind.com , © 1996-2000 Investorsmind.com, 2 pages
	49	OptionsXpress-Option Screener, www.optionsxpress.com , ©2000, 1 page
	50	Merrill Lynch- www.newmlol.com , © 2001, 15 pages
	51	Your Finance Resource, www.investmentdiscovery.com , 2006, 2 pages
EXAMINER		DATE CONSIDERED



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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
	52	www.optionsearcher.com , © 2001-2006 OptionSearcher.com, 5 pages
	53	Optionetics.com: An Investment Education Resource for Stock and Options Traders, www.optionetics.com , © 1995-2006, 19 pages
	54	OptionMonitor, Your Source for Covered Call Option Data and Analysis, www.optionmonitor.com , © 2001-2006 Option Review, Inc., 10 pages
	55	www.msn.com , Home page, 2006 © Microsoft, 13 pages
	56	Financial Planning and Small Business Software for Individuals-Official Quicken Site, http://quicken.intuit.com , © 2006 Intuit, Inc., 10 pages
	57	Carey, T.W., "Calls of the Mild", <i>Barron's Technology Week</i> , April 29, 2002, 1 page
	58	OptionFind.com, www.optionfind.com , February 24, 2000, 6 pages
	59	OptionsXpress-Option Screener, www.optionsxpress.com , October 3, 2005, 4 pages
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List of Patent and Publications
Cited by Applicant
(Use several sheets if necessary)

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Group
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U. S. PATENT DOCUMENTS

Examiner Initial		Document No.	Date	Name	Class	Subclass
	60	5,414,838	05/09/95	Kolton, et al.	395	600
	61	5,862,223	01/19/99	Walker, et al.	380	25
	62	6,058,378	05/02/00	Clark, et al.	705	37
	63	2001/0056392 A1	12/27/01	Daugherty, V. L. III	705	36

FOREIGN PATENT DOCUMENTS

Examiner Initial		Document No.	Date	Country	Translation	
					YES	NO

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